

Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Application Number 10/743,646  
 Filing Date 12/22/03  
 First Named Inventor Teresa G. ROCHA et al.  
 Art Unit Unassigned  
 Examiner Name Unassigned  
 Attorney Docket Number 61765.005014 (GE 129438)

Sheet

1

of

5

## U.S. PATENT DOCUMENTS

| *Examiner<br>Initials | Cite<br>No. | DOCUMENT NUMBER<br>Number - Kind Code (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages or<br>Relevant Figures Appear |
|-----------------------|-------------|--|--------------------------------|--|---|
| <i>MS</i>             | 1           | US- 2003/0134745                                 | 07/17/03                       | Park   |   |
| <i>MS</i>             | 2           | US- 5,993,764                                    | 11/30/99                       | Tabata et al.                                      |   |
| <i>MS</i>             | 3           | US- 6,089,017                                    | 07/18/00                       | Ogawa et al.                                       |   |
| <i>MS</i>             | 4           | US- 6,128,899                                    | 10/10/00                       | Oono et al.  |   |
| <i>MS</i>             | 5           | US- 6,153,161                                    | 11/28/00                       | Fetzer et al.                                      |   |
| <i>MS</i>             | 6           | US- 6,153,162                                    | 11/28/00                       | Fetzer et al.                                      |   |
| <i>MS</i>             | 7           | US- 6,182,443                                    | 02/06/01                       | Jarvis et al.                                      |   |
| <i>MS</i>             | 8           | US- 6,202,407                                    | 03/20/01                       | Brusasco et al.                                    |   |
| <i>MS</i>             | 9           | US- 6,232,253                                    | 05/15/01                       | Narula et al.                                      |   |
| <i>MS</i>             | 10          | US- 6,258,336                                    | 07/10/01                       | Breen et al.                                       |   |
| <i>MS</i>             | 11          | US- 6,296,820                                    | 10/02/01                       | Fröhlich et al.                                    |   |
| <i>MS</i>             | 12          | US- 6,305,160                                    | 10/23/01                       | Hammerle et al.                                    |   |
| <i>MS</i>             | 13          | US- 6,314,722                                    | 11/13/01                       | Matros et al.                                      |   |

## FOREIGN PATENT DOCUMENTS

| *Examiner<br>Initials | Cite<br>No. | FOREIGN PATENT DOCUMENT |                                  | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant Figures Appear | TRANSLATION              |                          |
|-----------------------|-------------|-------------------------|----------------------------------|--------------------------------|--|---|--------------------------|--------------------------|
|                       |             | Country<br>Code:        | Number - Kind Code<br>(if known) |                                |  |   | YES                      | NO                       |
| <i>MS</i>             | 1           | WO                      | 86/01741                         | 03/27/86                       | Jüntgen et al.                                     |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MS</i>             | 2           | WO                      | 94/04258                         | 03/03/94                       | Stiles et al.                                      |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MS</i>             | 3           | WO                      | 96/01689                         | 01/25/96                       | Audeh et al.                                       |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MS</i>             | 4           | WO                      | 96/29140                         | 09/26/96                       | Tabata et al.                                      |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MS</i>             | 5           | WO                      | 98/56492                         | 12/17/98                       | Hartweg et al.                                     |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MS</i>             | 6           | WO                      | 99/39809                         | 08/12/99                       | Andreasson et al.                                  |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MS</i>             | 7           | WO                      | 00/59600                         | 10/12/00                       | Millar et al.                                      |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MS</i>             | 8           | WO                      | 01/19499                         | 03/22/01                       | Feldmann   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MS</i>             | 9           | WO                      | 01/56685                         | 08/09/01                       | Hedouin et al.                                     |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MS</i>             | 10          | WO                      | 01/63104                         | 08/30/01                       | Roth et al.  |   | <input type="checkbox"/> | <input type="checkbox"/> |

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|            |             |                  |                                  |                                |  |   | Yes                      | No                       |
| <i>Pat</i> | 11          | WO               | 02/31325                         | 04/18/02                       | He et al.  |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 12          | EP               | 0 148 261                        | 05/13/87                       | Wolstein   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 13          | EP               | 0 537 968                        | 01/24/96                       | Oshima et al.                                      |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 14          | EP               | 0 732 140                        | 09/18/96                       | Bellussi et al.                                    |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 15          | EP               | 0 852 966                        | 07/15/98                       | Ikeda et al.                                       |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 16          | EP               | 0 963 782                        | 05/14/03                       | Chun et al.  |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 17          | EP               | 0 593 790                        | 12/27/96                       | Hüttenhofer et al.                                 |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 18          | EP               | 0 656 809                        | 04/07/99                       | Stiles et al.                                      |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 19          | EP               | 0 687 499                        | 06/14/95                       | Hartweg et al.                                     |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 20          | EP               | 0 697 240                        | 02/21/96                       | Jacobs et al.                                      |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 21          | EP               | 1 027 919                        | 08/16/00                       | Jarvis et al.                                      |   | <input type="checkbox"/> | <input type="checkbox"/> |
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| <i>Pat</i> | 23          | EP               | 1 054 139                        | 11/22/00                       | Goerigk et al.                                     |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 24          | EP               | 1 054 722                        | 11/2/05/01                     | Andreasson et al.                                  |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 25          | EP               | 1 0766 454                       | 06/18/03                       | Mahr   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 26          | EP               | 1 094 206 A2                     | 04/25/01                       | Yamamoto et al.                                    |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 27          | EP               | 1 094 206 A3                     | 03/12/03                       | Yamamoto et al.                                    |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 28          | JP               | 51133191                         | 11/18/76                       | Nanbu et al.                                       |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 29          | JP               | 51141788                         | 12/06/76                       | Matsumoto et al.                                   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 30          | JP               | 52024996                         | 02/24/77                       | Nishikawa et al.                                   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 31          | JP               | 52037590                         | 03/23/77                       | Suzuki   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 32          | JP               | 52042489                         | 04/02/77                       | Nishikawa et al.                                   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 33          | JP               | 52148495                         | 12/09/77                       | Umemura et al.                                     |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 34          | JP               | 60025542                         | 02/08/85                       | Fukuda et al.                                      |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 35          | JP               | 01127689                         | 05/19/89                       | Fujita   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 36          | JP               | 03089699                         | 04/15/91                       | Kuraya   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 37          | JP               | 04250522                         | 09/07/92                       | Morioka  |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 38          | JP               | 06198172                         | 07/19/94                       | Abe et al.   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 39          | JP               | 07068180                         | 03/14/95                       | Nakatsuji et al.                                   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 40          | JP               | 07086259                         | 03/31/95                       | Otsubo et al.                                      |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Pat</i> | 41          | JP               | 07150245                         | 06/13/95                       | Nagae et al.                                       |   | <input type="checkbox"/> | <input type="checkbox"/> |

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|           | Cite No. | Country Code: | Number - Kind Code (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | TRANSLATION              |                          |
|-----------|----------|---------------|-------------------------------|-----------------------------|---|---|--------------------------|--------------------------|
|           |          |               |                               |                             |   |   | Yes                      | No                       |
| <i>MA</i> | 42       | JP            | 07213902 ✓                    | 08/15/95                    | Miyoshi et al.                                  |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 43       | JP            | 07237385 ✓                    | 09/12/95                    | Yamanaka  |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 44       | JP            | 07284664 ✓                    | 10/31/95                    | Abe et al.                                      |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 45       | JP            | 10054138                      | 02/24/98                    | Nakano et al.                                   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 46       | JP            | 11221468                      | 08/17/99                    | Tabata et al.                                   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 47       | JP            | 11221470                      | 08/17/99                    | Tabata et al.                                   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 48       | JP            | 10151347                      | 06/09/98                    | Nakatsuji et al.                                |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 49       | JP            | 10192060                      | 07/28/98                    | Kushioka  |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 50       | JP            | 10258232                      | 09/29/98                    | Ogura et al.                                    |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 51       | JP            | 10296080                      | 11/10/98                    | Hosoya  |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 52       | JP            | 10314593                      | 12/12/98                    | Nakatsuji et al.                                |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 53       | JP            | 10317946                      | 12/02/98                    | Kumagai et al.                                  |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 54       | JP            | 11019513                      | 01/26/99                    | Haneda et al.                                   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 55       | JP            | 11128753                      | 05/18/99                    | Mukai et al.                                    |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 56       | JP            | 11169711                      | 06/29/99                    | Terada et al.                                   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 57       | JP            | 11173181                      | 06/29/99                    | Takahashi et al.                                |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 58       | JP            | 11147041                      | 06/02/99                    | Hosoya et al.                                   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 59       | JP            | 11221467                      | 08/17/99                    | Tsuji et al.                                    |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 60       | JP            | 11276899                      | 10/12/99                    | Arakawa   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 61       | JP            | 11288227                      | 10/19/99                    | Shinohara et al.                                |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 62       | JP            | 11285624                      | 10/19/99                    | Chattha et al.                                  |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 63       | JP            | 11333256                      | 12/07/99                    | Hirabayashi                                     |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 64       | JP            | 2000002111                    | 01/07/00                    | Takahashi                                       |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 65       | JP            | 2000008909                    | 01/11/00                    | Nakazono et al.                                 |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 66       | JP            | 2000010358                    | 01/14/00                    | Miyamoto et al.                                 |   | <input type="checkbox"/> | <input type="checkbox"/> |
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| <i>MA</i> | 68       | JP            | 2000070722                    | 03/07/00                    | Akama et al.                                    |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 69       | JP            | 2000080918                    | 03/21/00                    | Shirjo et al.                                   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 70       | JP            | 2000093794                    | 04/04/00                    | Kuroda et al.                                   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>MA</i> | 71       | JP            | 2000117058                    | 04/25/00                    | Bourges et al.                                  |   | <input type="checkbox"/> | <input type="checkbox"/> |

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*Low N. Hill*

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|------------|--------------|---------------|-------------------------------|-----------------------------|---|---|--------------------------|--------------------------|
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| <i>QNA</i> | 74           | JP            | 2000192853                    | 07/11/00                    | Yamazeki et al.                                 |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>QNA</i> | 75           | JP            | 2000202243                    | 07/25/00                    | Iizuka et al.                                   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>QNA</i> | 76           | JP            | 2000225323                    | 08/15/00                    | Kamioka et al.                                  |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>QNA</i> | 77           | JP            | 2000230414                    | 08/22/00                    | Jarvis et al.                                   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>QNA</i> | 78           | JP            | 2000248923                    | 09/12/00                    | Gabe  |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>QNA</i> | 79           | JP            | 2000257420                    | 09/19/00                    | Nishimoto                                       |   | <input type="checkbox"/> | <input type="checkbox"/> |
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| <i>QNA</i> | 82           | JP            | 2000282852                    | 10/10/00                    | Asaumi  |   | <input type="checkbox"/> | <input type="checkbox"/> |
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| <i>QNA</i> | 87           | JP            | 2000337130                    | 12/05/00                    | Katashiba et al.                                |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>QNA</i> | 88           | JP            | 2000342966                    | 12/12/00                    | Ikedo et al.                                    |   | <input type="checkbox"/> | <input type="checkbox"/> |
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| <i>QNA</i> | 90           | JP            | 2001029793                    | 02/06/01                    | Nakanishi et al.                                |   | <input type="checkbox"/> | <input type="checkbox"/> |
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| <i>QNA</i> | 92           | JP            | 2001041025                    | 02/13/01                    | Saito et al.                                    |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>QNA</i> | 93           | JP            | 2001050034                    | 02/23/01                    | Sato et al.                                     |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>QNA</i> | 94           | JP            | 2001050036                    | 02/23/01                    | Manaka  |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>QNA</i> | 95           | JP            | 2001070755                    | 03/21/01                    | Mitsuta et al.                                  |   | <input type="checkbox"/> | <input type="checkbox"/> |
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| <i>QNA</i> | 97           | JP            | 2001132440                    | 05/15/01                    | Ueno et al.                                     |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>QNA</i> | 98           | JP            | 2001145820                    | 05/29/01                    | Mitsuta et al.                                  |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>QNA</i> | 99           | JP            | 2001149757                    | 06/05/01                    | Hayashi   |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>QNA</i> | 100          | JP            | 2001198461                    | 07/24/01                    | Sato et al.                                     |   | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>QNA</i> | 101          | JP            | 2001198462                    | 07/24/01                    | Minami  |   | <input type="checkbox"/> | <input type="checkbox"/> |

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129438-1SERIAL NO.  
10/743,646

INFORMATION DISCLOSURE STATEMENT BY APPLICANT  
LIST OF ITEMS

Applicant  
TERESA G. ROCHNA, ET ALFiling Date  
12/22/03

Group

## U.S. PATENT AND PUBLICATION DOCUMENTS

| *EXAMINER<br>INITIAL | DOCUMENT NUMBER         | DATE    | NAME                 | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|----------------------|-------------------------|---------|----------------------|-------|----------|-------------------------------|
| <i>JS</i>            | AA 6,703,343            | 3/9/04  | PARK                 |       |          |                               |
| <i>JS</i>            | AB 6,706,660            | 3/16/04 | PARK                 |       |          |                               |
| <i>JS</i>            | AC US2003/0118960A<br>1 | 6/26/03 | BALMER-MILLAR, ET AL |       |          |                               |
|                      | AD                      |         |                      |       |          |                               |
|                      | AE                      |         |                      |       |          |                               |

## FOREIGN PATENT DOCUMENTS

|           | DOCUMENT<br>NUMBER | DATE   | COUNTRY | CLASS | SUBCLASS | TRANSLATION<br>YES NO |
|-----------|--------------------|--------|---------|-------|----------|-----------------------|
| <i>JS</i> | B1 EP1205235A1     | 8/2/01 | EPO     |       |          |                       |
|           | B2                 |        |         |       |          |                       |
|           | B3                 |        |         |       |          |                       |

## OTHER INFORMATION (Including Author, Title, Date, Pertinent Pages, etc.)

|  |    |  |
|--|----|--|
|  | C1 |  |
|  | C2 |  |
|  | C3 |  |

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